

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Docket No. 85-157-I
Anticipated Classification of this application:
Class 435 Subclass _____
Prior application:
Examiner: A. Marschel
Art Unit: 1807

Box FWC
Commissioner of Patents and Trademarks
Washington, D.C. 20231

FILE WRAPPER CONTINUING APPLICATION (FWC) (37 CFR 1.62)

- WARNING:** This form cannot be used where the parent case may not be abandoned since the filing of a request under the FWC procedure "will be considered to be a request to expressly abandon the prior application as of the filing date granted to the continuing application." 37 CFR 1.62(g).
- WARNING:** This procedure can only be used for a pending application prior to payment of the issue fee. 37 CFR 1.62(a).
- WARNING:** The filing of an application as the United States stage of an international application requires an oath or declaration. 37 CFR 1.61(a)(4).
- WARNING:** The claims of this new application may be finally rejected in the first Office action where all claims of the new application are drawn to the same invention claimed in the earlier application and would have been properly finally rejected on the grounds or art of record in the next Office action if they had been entered in the earlier application. MPEP § 706.07(b).
- WARNING:** An application under 37 CFR 1.62 is filed by making changes by amendment to the prior application, 37 CFR 1.62(a), and not by filing a new application.
- WARNING:** Filing under 37 CFR 1.62 is permitted only if filed by the same or less than all the inventors named in the prior application.

I. This is a request for a filing under the file wrapper continuing application procedure, 37 CFR 1.62, for a

- ☒ continuation
☐ divisional
☐ continuation-in-part (for oath or declaration see III below)
☐ attached is an amendment for added subject matter

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this FWC transmittal and the documents referred to as attached therein are being deposited with the United States Postal Service on this date April 28, 1993 in an envelope as "Express Mail Post Office to Addressee" mailing Label Number 1B376388265 addressed to the: Commissioner of Patents and Trademarks Washington, D.C. 20231.

Denise Ortega

(Type or print name of person mailing paper)

Denise Ortega

(Signature of person mailing paper)

NOTE: Each paper or fee filed by "Express Mail" has the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 CFR 1.10(b).

II. Inventorship statement

NOTE: "If the continuation, continuation-in-part, or divisional application is filed by less than all the inventors named in the prior application a statement **must** accompany the application when filed requesting deletion of the names of the person or persons who are not inventors of the invention being claimed in the continuation, continuation-in-part, or divisional application." 37 CFR 1.62(a) [emphasis added].

NOTE: "In the case of a continuation-in-part application which adds and claims additional disclosure by amendment, an oath or declaration as required by § 1.63 must be filed. In those situations where a new oath or declaration is required due to additional subject matter being claimed, additional inventors may be named in the continuing application. In a continuation or divisional application which discloses and claims only subject matter disclosed in a prior application, no additional oath or declaration is required and the application must name as inventors the same or less than all the inventors in the prior application." 37 CFR 1.60(c).

(complete applicable item (a), (b) and/or (c) below)

- (a) ☒ This application discloses and claims only subject matter disclosed in the prior application whose particulars are set out above and the inventor(s) in this application are

☒ the same

☐ less than those named in the prior application and it is requested that the following inventor(s) identified above for the prior application be deleted:

(Type name(s) of inventor(s) to be deleted)

- (b) ☐ This application discloses and claims additional disclosure by amendment and a new declaration or oath is being filed. With respect to the prior application whose particulars are set out above the inventor(s) in this application are

☐ the same

☐ add the following additional inventor(s)

(Type name of inventor(s) to be added)

- (c) The inventorship for all the claims in this application are

☐ the same

☐ not the same, and an explanation, including the ownership of the various claims at the time the last claimed invention was made, is submitted.

III. Declaration or oath

A. Continuation or divisional

☒ none required

B. Continuation-in-part

☐ attached

executed by (check all applicable items)

☐ inventor(s).

☐ legal representative of inventor(s) 37 CFR 1.42 or 1.43.

☐ joint inventor or person showing a proprietary interest for inventor who refused to sign or cannot be reached. 37 CFR 1.47;

☐ This is the petition required by 37 CFR 1.47 and the statement required by 37 CFR 1.47 is also attached. (See item VIII below for fee.)

☐ not attached

- ☐ Application is made by a person authorized under 37 CFR 1.41(c) on behalf of all of the above named applicant(s). *(The declaration or oath, along with the surcharge required by 37 CFR 1.16(e) can be filed subsequently.)*
- ☐ showing that the filing is authorized. *(Not required unless called into question. 37 CFR 1.41(d).)*

IV. Identification of Claims for Further Prosecution

WARNING: "The claims of a new application may be finally rejected in the first Office action in those situations where (1) the new application is a continuing application of, or a substitute for, an earlier application, and (2) all the claims of the new application (a) are drawn to the same invention claimed in the earlier application, and (b) would have been properly finally rejected on the grounds of art of record in the next Office action if they had been entered in the earlier application." MPEP, § 706.07(b).

- ☒ The fees to be charged are to be based on the number of claims remaining as a result of the
- ☒ attached preliminary amendment.
- ☐ the unentered amendment filed under 37 CFR 1.116 in the prior application, which is now repeated.
- ☐ the claims as on file in the prior application.

V. Fee Calculation (37 CFR 1.16)

NOTE: The filing fee for a continuation, continuation-in-part, or divisional application is based on the number of claims remaining in the application after entry of any preliminary amendment and entry of any amendments under 37 CFR 1.116 unentered in the prior application which is requested to be entered in this FWC application. 37 CFR 1.62.

CLAIMS FOR FEE CALCULATION					
Number Filed		Number Extra		Rate	Basic Fee
					\$370.00 \$710.00
Total Claims	17 - 20 =	0	X	\$22.00 \$12.00	0.00
Independent Claims				\$74.00	
(37 CFR 1.16(b))	1 - 3 =	0	X	\$36.00	0.00
Multiple dependent claim(s), if any				\$230.00	
(37 CFR 1.16(d))				\$120.00	

- ☐ The fee for extra claims is not being paid at this time.

Filing fee calculation

\$ 710.00

NOTE: If the fees for extra claims are not paid on filing they must be paid or the claims cancelled by amendment, prior to the expiration of the time period set for response by the Patent and Trademark Office in any notice of fee delinquency. 37 CFR 1.16(d).

VI. Petition for Suspension of Prosecution for the Time Necessary to File an Amendment

NOTE: Where it is possible that the claims on file will give rise to a first action final for this continuation application and for some reason an amendment cannot be filed promptly (e.g., experimental data is being gathered) it may be desirable to file a petition for suspension of prosecution for the time necessary.

(check the next item, if applicable)

- ☐ There is provided herewith a Petition to Suspend Prosecution For The Time Necessary to File An Amendment (New Application Filed Concurrently).

VII. Small Entity Statement

- ☐ A verified statement that this is a filing by a small entity is attached.
- ☐ The small entity statement was filed in the parent application Serial No. 0 / _____ which parent application was filed on _____ and this status is still proper and its benefit under 37 CFR 1.28(a) is hereby claimed.

Filing fee calculation (50% of above) \$ _____

NOTE: 37 CFR 1.28(a) states "Status as a small entity must be specifically established by a verified statement filed in each application or patent in which the status is available and desired, except those applications filed under § 1.60 or § 1.62 of this part where the status as a small entity has been established in a parent application and is still proper."

The last sentence of 37 CFR 1.28(a) states: "Applications filed under § 1.60 or § 1.62 of this part must include a reference to a verified statement in a parent application if status as a small entity is still proper and desired."

Any excess of the full fee paid will be refunded if a verified statement and a refund request are filed within 2 months of the date of timely payment of a full fee then the excess fee paid will be refunded on request. 37 CFR 1.28(a).

VIII. Fee Payment Being Made at This Time

Not attached

- ☐ No filing fee is submitted. (This and the surcharge required by 37 CFR 1.16(e) can be paid subsequently.)

Attached

- | | |
|---|-----------|
| <input checked="" type="checkbox"/> filing fee | \$ 710.00 |
| <input type="checkbox"/> recording assignment (\$8.00; 37 CFR 1.21(h)).
See item XIV below. | \$ _____ |
| <input type="checkbox"/> petition fee for filing by other than all the inventors or person not the inventor where inventor refused to sign or cannot be reached (\$120.00; 37 CFR 1.47 and 1.17(h)) | \$ _____ |
| <input type="checkbox"/> processing and retention fee (\$120.00; 37 CFR 1.53(d) and 1.21(l)) | \$ _____ |

NOTE: 37 CFR 1.21(l) establishes a fee for processing and retaining any application which is abandoned for failing to complete the application pursuant to 37 CFR 1.53(d) and this, as well as, the changes to 37 CFR 1.53 and 1.78 indicate that in order to obtain the benefit of a prior U.S. application, either the basic filing fee must be timely paid or the processing and retention fee in § 1.21(l) must be paid within 1 year from the notification under § 1.53(d).

Total fees enclosed \$ 710.00

IX. Method of Payment of Fees

- ☒ attached is check in the amount of \$ 710.00
- ☐ charge Account No. _____ in the amount of \$ _____
- ☐ A duplicate of this request is attached.

NOTE: Fees should be itemized in such a manner that it is clear for which purpose the fees are paid. 37 CFR 1.22(b).

X. Authorization to Charge Additional Fees

WARNING: If no fee payment is made at this time this item should not be completed.

WARNING: Accurately count claims, especially multiple dependent claims, to avoid unexpected high charges if extra claim charges are authorized.

- ☐ The Commissioner is hereby authorized to charge the following additional fees which may be required by this paper and during the entire pendency of this application to Account No. _____:
- ☐ 37 CFR 1.16(a), (f) or (g) (filing fees)
- ☐ 37 CFR 1.16(b), (c) and (d) (presentation of extra claims)

NOTE: Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims cancelled by amendment prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency (37 CFR 1.16(d)) it might be best not to authorize the PTO to charge additional claim fees, except possibly when dealing with amendments after final action.

- ☐ 37 CFR 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)
- ☐ 37 CFR 1.17 (application processing fees)

WARNING: While 37 CFR 1.17(a), (b), (c) and (d) deal with extensions of time under § 1.136(a) this authorization should be made only with the knowledge that: "Submission of the appropriate extension fee under 37 CFR 1.136(a) is to no avail unless a request or petition for extension is filed" (Emphasis added). Notice of November 5, 1985 (1060 O.G. 27).

- ☐ 37 CFR 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 CFR 1.311(b))

NOTE: Where an authorization to charge the issue fee to a deposit account has been filed before the mailing of a Notice of Allowance, the issue fee will be automatically charged to the deposit account at the time of mailing the notice of allowance, 37 CFR 1.311(b).

From the wording of 37 CFR 1.28(b): (a) notification of change of status must be made even if the fee is paid as "other than a small entity" and (b) no notification is required if the change is to another small entity. Notification of any change of status resulting in loss of entitlement to small entity status must be filed in the application prior to, or at the time of, paying the issue fee. 37 CFR 1.28(b).

XI. Instructions as to Overpayment

- ☐ credit Account No. _____
- ☒ refund

XII. Priority—35 U.S.C. 119

- ☐ Priority of application Serial No. 0 / _____ filed on

_____ in _____ is claimed under
35 U.S.C. 119. (country)

- ☐ The certified copy has been filed on _____ in prior U.S. application Serial No. 0 / _____, which prior application was filed on _____.
- ☐ certified copy will follow

XIII. Relate Back—35 U.S.C. 120

☒ Amend the specification by inserting before the first line the sentence:

"This is a

- ☒ continuation
☐ divisional
☐ continuation-in-part

of copending application(s)

- ☒ serial number 07 / 537,305 filed on June 12, 1990 "
- ☐ International Application _____ filed on _____
and which designated the U.S."

NOTE: The proper reference to a prior filed PCT application which entered the U.S. national phase is the U.S. serial number and the filing date of the PCT application which designated the U.S.

XIV. Assignment

- ☒ the prior application is assigned of record to The Regents of the University of California
- ☐ an assignment of the invention to _____
_____ is attached.

XV. Power of Attorney

The power of attorney in the prior application is to

Henry P. Sartorio	28,535
Nora A. Hackett	33,597
Leona L. Lauder	30,863
R. Danny Huntington	27,903
Robert M. Schulman	31,196
Donna M. Meuth	P-36,607

_____ in _____ is claimed under
35 U.S.C. 119. (country)

- ☐ The certified copy has been filed on _____ in prior U.S. application Serial No. 0 / _____, which prior application was filed on _____.
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Donna M. Meuth	P-36,607

April 28, 1993
Date Steuart St. Tower, 18th Fl.
One Market Plaza
P.O. Address of Signatory
San Francisco, CA 94105
Tel. No.: (415) 777-9257
Reg. No. 30,863
(if applicable)

Leona L. Lauder
Type or print name of person signing
Leona L. Lauder
Signature
☐ Inventor
☐ Assignee of complete interest
☐ Person authorized to sign on behalf of assignee
☒ Attorney or agent of record
☐ Filed under Rule 34(a)

(Complete the following if applicable)
The Regents of the University of California

Type name of assignee
300 Lakeside Drive

Address of assignee
Oakland, CA 94612-3565
Candace Voelker, Licensing Manager
Office of Technology Transfer

Title of person authorized to sign on behalf of assignee

Assignment recorded in PTO on April 1, 1991

Reel 5650 Frame 655

☐ Plus ADDED PAGE FOR INVENTOR'S DATA FOR FWC FILING